

**Notice of Allowability**

Application No.

09/765,444

Examiner

Martin Lerner

Applicant(s)

GORIN ET AL.

Art Unit

2654

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--**

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to Amendment filed 29 July 2005.
2. ☒ The allowed claim(s) is/are 1, 5 to 15, and 19 to 27.
3. ☒ The drawings filed on 22 January 2001 are accepted by the Examiner.
4. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
  - a) ☐ All   b) ☐ Some\*   c) ☐ None   of the:
    1. ☐ Certified copies of the priority documents have been received.
    2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
    3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

\* Certified copies not received: \_\_\_\_\_.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.

**THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.**

5. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.
  6. ☐ CORRECTED DRAWINGS ( as "replacement sheets") must be submitted.
    - (a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review ( PTO-948) attached
      - 1) ☐ hereto or 2) ☐ to Paper No./Mail Date \_\_\_\_\_.
    - (b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date \_\_\_\_\_.
- Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).
7. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

**Attachment(s)**

1. ☒ Notice of References Cited (PTO-892)
2. ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3. ☐ Information Disclosure Statements (PTO-1449 or PTO/SB/08),  
Paper No./Mail Date \_\_\_\_\_
4. ☐ Examiner's Comment Regarding Requirement for Deposit  
of Biological Material
5. ☐ Notice of Informal Patent Application (PTO-152)
6. ☐ Interview Summary (PTO-413),  
Paper No./Mail Date \_\_\_\_\_
7. ☐ Examiner's Amendment/Comment
8. ☒ Examiner's Statement of Reasons for Allowance
9. ☐ Other \_\_\_\_\_



**VIJAY CHAWAN  
PRIMARY EXAMINER**

### **EXAMINER'S STATEMENT OF REASONS FOR ALLOWANCE**

The following is an examiner's statement of reasons for allowance:

Regarding independent claims 1 and 15, the prior art of record does not disclose or reasonably suggest a method and system for monitoring language understanding in an automated dialog system, where comparison to first and second thresholds determines whether a dialog is routed to a human for assistance, whether further dialog is conducted with a current dialog strategy, or whether further dialog is conducted with an adapted dialog strategy.

*Marx et al.* does not clearly disclose routing to an operator if a first threshold is exceeded, but only if an ERROR condition 540 is met after no hypotheses are produced following confirmation 523 or spelling fallback method 522. (Column 8, Line 52 to Column 10, Line 40: Figure 5) While *Marx et al.* compares to thresholds of confidence levels, adapted dialog strategies are performed before routing to a human operator for assistance.

*Carpenter et al.* says that if no document meets a threshold, then control is transferred to an operator (column 11, lines 49 to 54: Figure 6A: Steps 616 and 620), but does not clearly disclose a disambiguation module 208 comparing to a second threshold, as disambiguation is always performed with further questions unless there is only one document score exceeding a threshold (column 11, lines 43 to 49: Figure 6A: Steps 616 and 618), in which case a call is routed to a destination without further dialog.

Thus, *Carpenter et al.* does not clearly disclose distinct first and second thresholds, or conducting further dialog using a current dialog strategy.

Applicants' Specification, Page 1, Lines 19 to 26, suggests a dialog system with an ability to reliably distinguish language understanding errors for improved overall performance.

Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

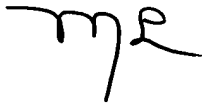
Any inquiry concerning this communication or earlier communications from the examiner should be directed to Martin Lerner whose telephone number is (571) 272-7608. The examiner can normally be reached on 8:30 AM to 6:00 PM Monday to Thursday.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Richemond Dorvil can be reached on (571) 272-7602. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

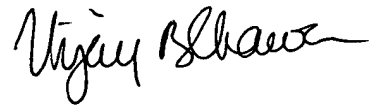
Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should

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you have questions on access to the Private PAIR system, contact the Electronic  
Business Center (EBC) at 866-217-9197 (toll-free).

A handwritten signature in black ink, appearing to be 'me'.

ML  
8/16/05

A handwritten signature in black ink, appearing to be 'Vijay Chawan'.

**VIJAY CHAWAN  
PRIMARY EXAMINER**